



ELE 1470561US

FORM PTO-1082

6 081

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Applicants: Oskar PAINTER, Ming CAI, Kerry VAHALA
and Peter C. SERCEL

Serial No: Not yet assigned

Filed: 09 March 2001

For: MICRO-CAVITY LASER

RECEIVED
OCT 15 2001
TECHNICAL STAFF COMMUNICATIONS

BOX PATENT APPLICATION

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Transmitted herewith for filing is the non-provisional patent application identified above.

- ☒ 9 sheets of drawings (☐ formal ☒ informal) are enclosed.
- ☒ 32 pages of specification and 1 page of abstract of the invention are enclosed.
- ☒ An un-executed assignment of the invention to CALIFORNIA INSTITUTE OF TECHNOLOGY and ALEPH LIGHTGATE CORPORATION is enclosed.
- ☐ An associate power of attorney ☐ is enclosed ☐ will follow.
- ☒ An un-executed verified statement to establish small entity status under 37 C.F.R. §§ 1.9 & 1.27 for CALIFORNIA INSTITUTE OF TECHNOLOGY is enclosed.
- ☒ An un-executed verified statement to establish small entity status under 37 C.F.R. §§ 1.9 & 1.27 for ALEPH LIGHTGATE CORPORATION is enclosed.
- ☒ An un-executed Declaration and Power of Attorney is enclosed.
- ☒ Priority is claimed on U.S. Provisional Patent Application Serial No. 60/188325 filed on 09 March 2000.

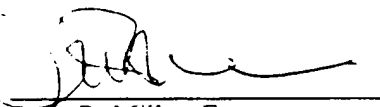
CALCULATION OF FEES								
ITEM		TOTAL NO. OF CLAIMS		NO. OF CLAIMS OVER BASE	LG/SM \$ ENTITY FEE		\$ AMOUNT	\$ FEE
A	TOTAL CLAIMS FEE	59	-20	39	LG=\$18 SM=\$9	351.00	351.00	N/A
B	INDEPENDENT CLAIMS FEE*	8	-3	5	LG=\$78 SM=\$39	195.00	195.00	N/A
C	SUBTOTAL - ADDITIONAL CLAIMS FEE (ADD FINAL COLUMN IN LINES A+B)							546.00
D	MULTIPLE-DEPENDENT CLAIMS FEE					LARGE ENTITY FEE=\$260 SMALL ENTITY FEE=\$130		
E	BASIC FEE					LARGE ENTITY FEE=\$760 SMALL ENTITY FEE=\$380		380.00
F	TOTAL FILING FEE (ADD TOTALS FOR LINES C, D, AND E)							926.00
	*LIST INDEPENDENT CLAIMS [LIST OF INDEPENDENT CLAIMS]							N/A

- ☒ A check in the amount of \$926.00 over the filing fee is enclosed.
- ☐ A check in the amount of \$_____ to cover Assignment Recordation fee is enclosed with the Recordation Cover Sheet
- ☐ The Commissioner is hereby authorized to charge any deficiency for the following fees associated with this communication or credit any overpayment to Deposit Account No. _____. **A copy of this sheet is enclosed.**
- ☐ Any additional filing fees required under 37 C.F.R. § 1.16
- ☐ Any patent application processing fees under 37 C.F.R. § 1.17

Respectfully submitted,

Date: 09 March 2001

By:

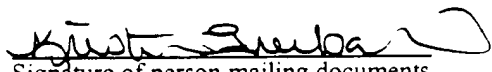

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CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this paper and the documents referred to as enclosed therein are being deposited with the United States Postal Services on this date 09 March 2001 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL631470561US addressed to the "BOX NEW PATENT APP/FEE, Assistant Commissioner for Patents, Washington, D.C. 20231".


Signature of person mailing documents

Kristin Freebairn 3/9/01
Print name of person mailing documents



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UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/802,442	03/09/2001	2881	906	6/081	9	59	8

CONFIRMATION NO. 7245

FILING RECEIPT



OC00000006011732

26719
RIORDAN & MCKINZIE
300 SOUTH GRAND AVENUE
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LOS ANGELES, CA 90071

Date Mailed: 04/26/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

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Peter C. Sercel, Pasadena, CA;

Assignment For Published Patent Application

CALIFORNIA INSTITUTE OF TECHNOLOGY;
ALEPH LIGHTGATE CORPORATION;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/188,325 03/09/2000

Foreign Applications

If Required, Foreign Filing License Granted 04/25/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

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**** SMALL ENTITY ****

Title

Micro-cavity laser

Preliminary Class

372

Data entry by : NGUYEN, NGAN

Team : OIPE

Date: 04/26/2001

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
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- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

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endor 3462 CHECK# 95512

micro-cavity laser

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LAW OFFICES
RIORDAN & McKINZIE

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LOS ANGELES, CALIFORNIA 90071

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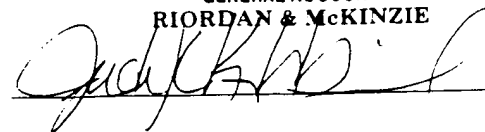
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Docket No. 6/081

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THE U.S. PATENT AND TRADEMARK OFFICE MAIL ROOM HEREBY
ACKNOWLEDGES RECEIPT OF THE FOLLOWING DOCUMENTS:

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Receipt is hereby acknowledged of the following: Transmittal letter for Non-Provisional
Patent Application w/Certificate of Mailing; specification, claims, abstract and formal
drawing sheets); unexecuted Declaration and Power of Attorney; unexecuted Small Entity
Status; check; and this post card

In Reference of: Oskar PAINTER, et al for the invention entitled "MICRO-CAVITY
LASER" to be assigned to California Institute of Technology and Aleph Lightgate
Corporation

Express Mail Label No. EL631470561US

Mailing Date: March 09, 2001